

[illegible]

**FIG. 1**

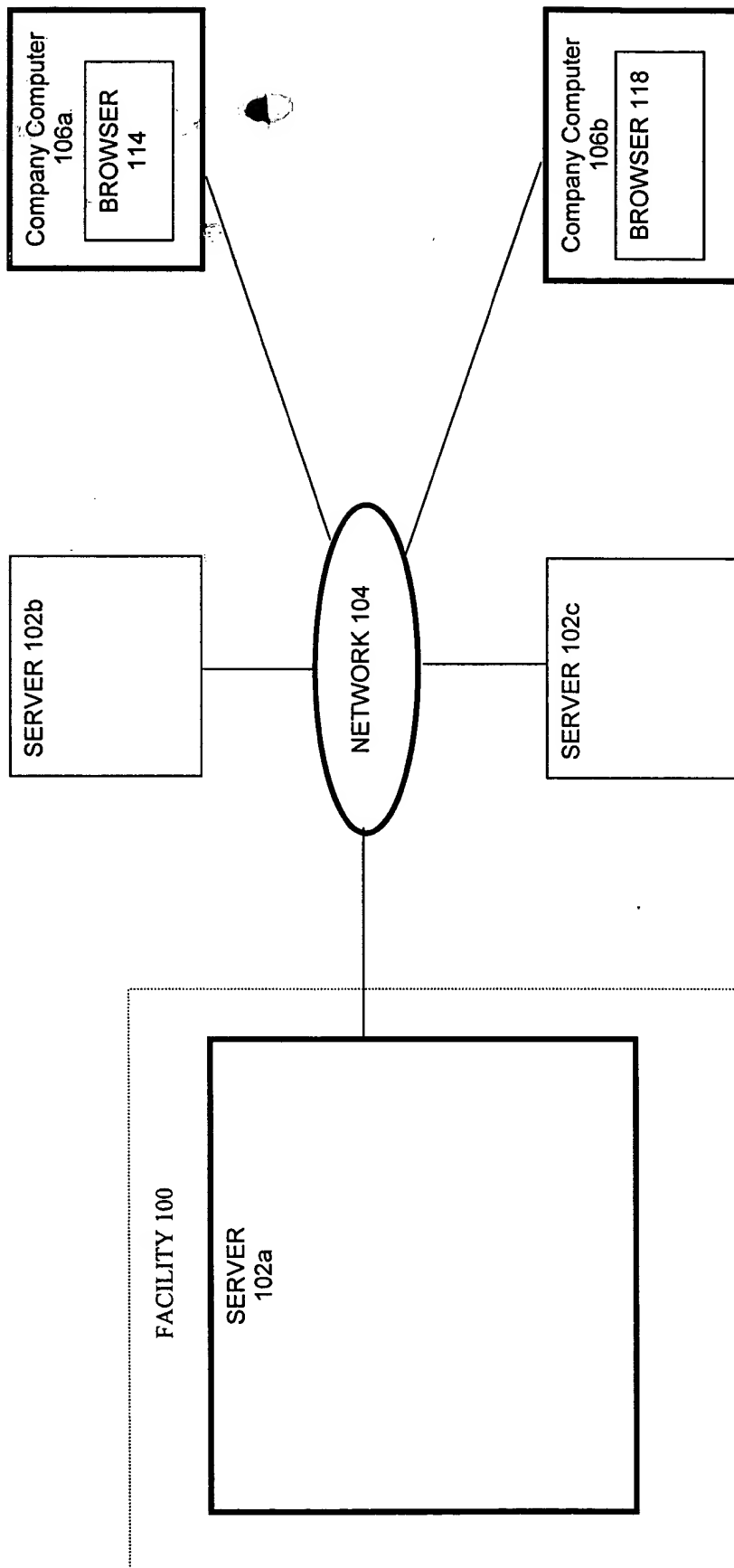


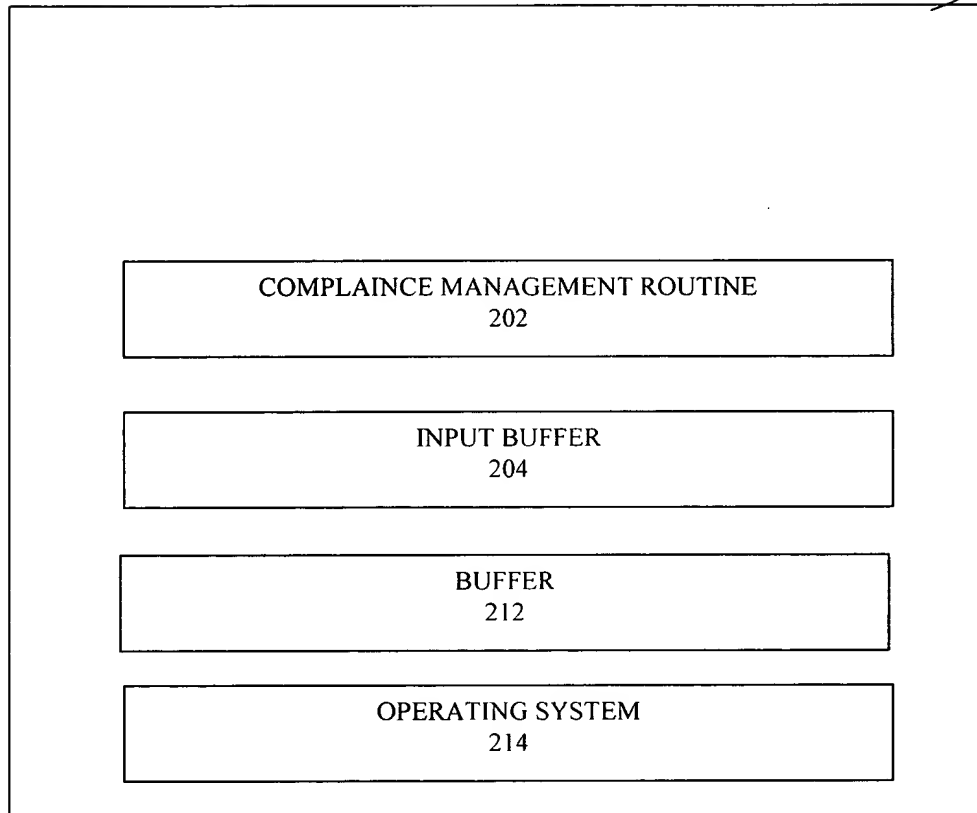
FIG. 2

SERVER

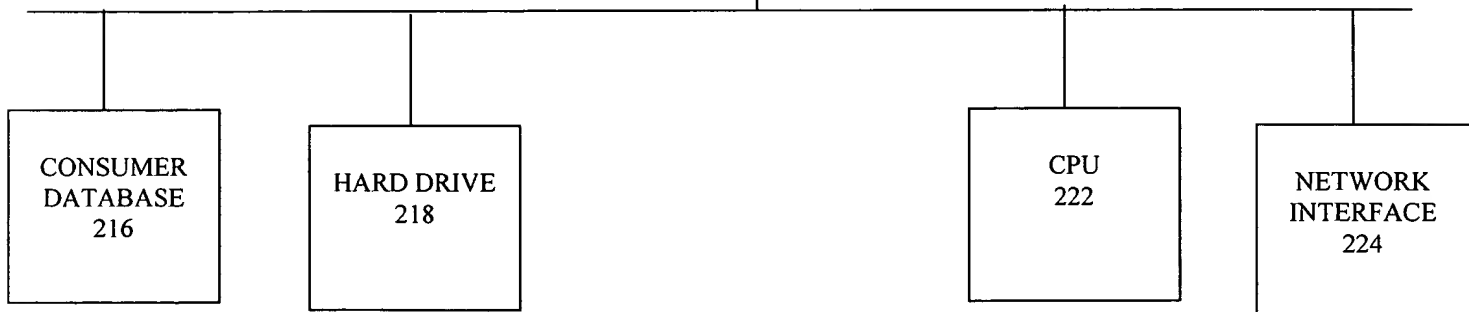
102

MEMORY

206



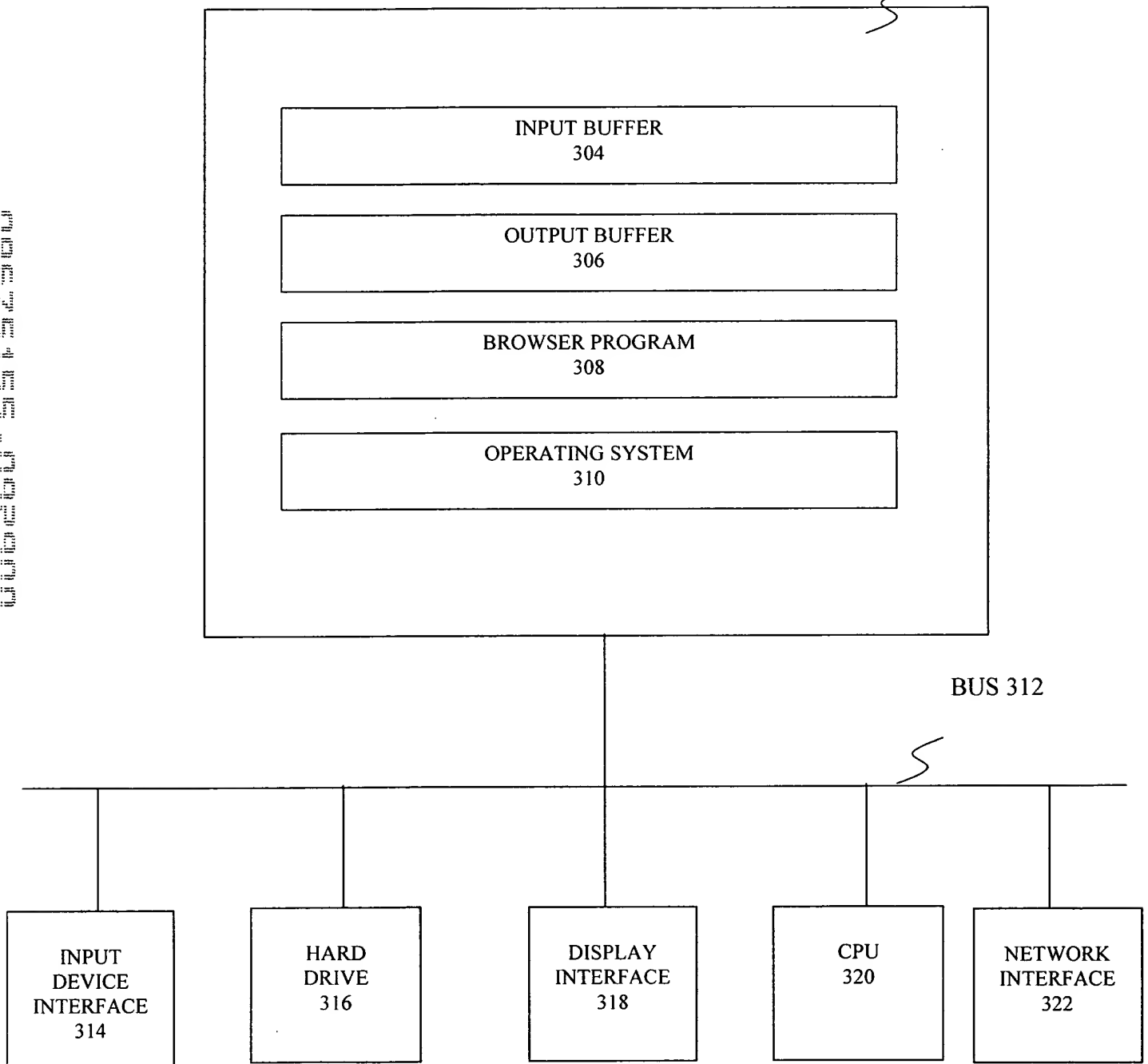
BUS 226



**FIG. 3**

COMPANY COMPUTER 106

MEMORY 302



**FIG. 4**

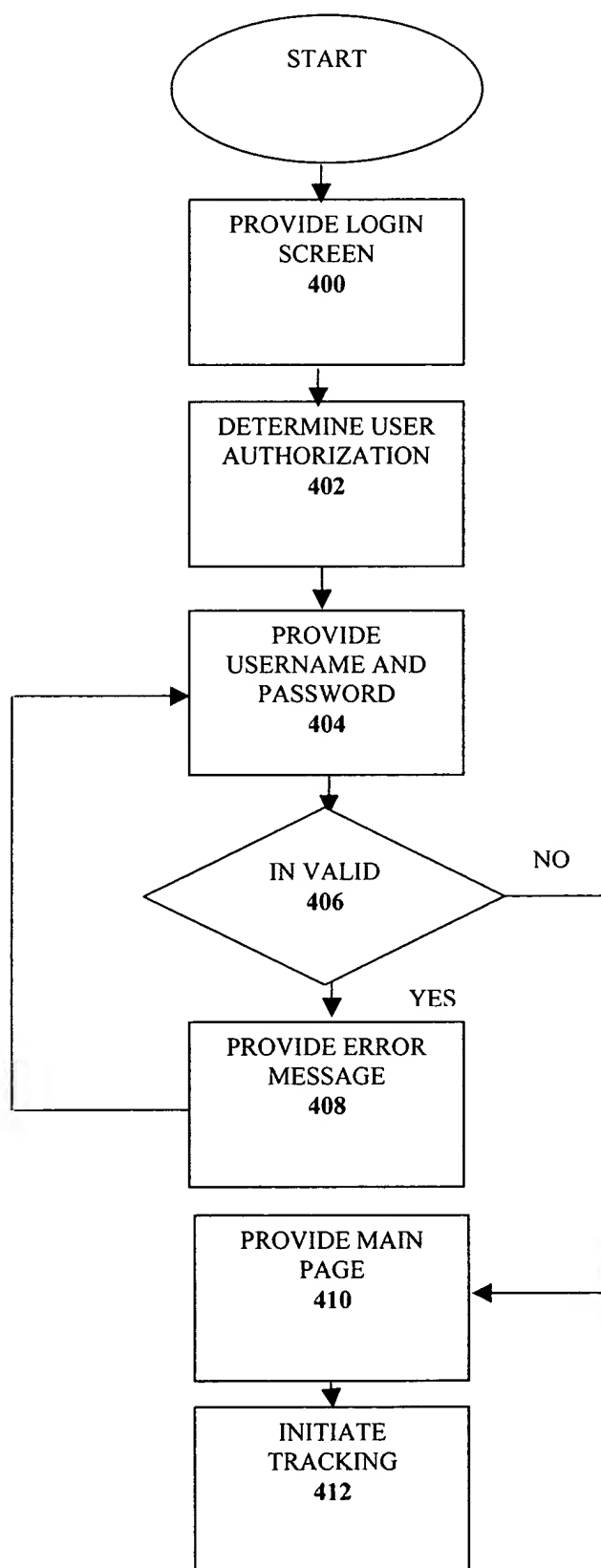
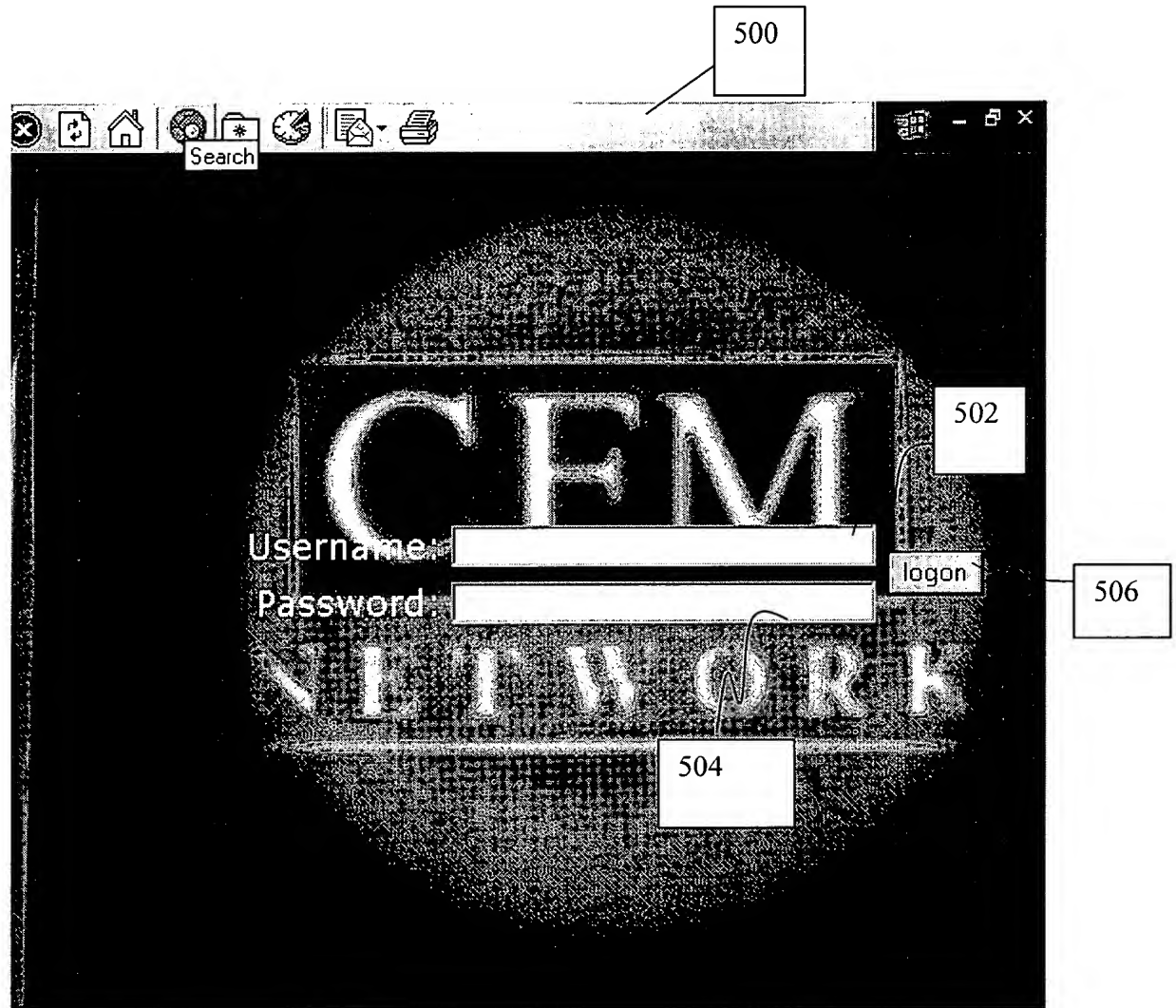
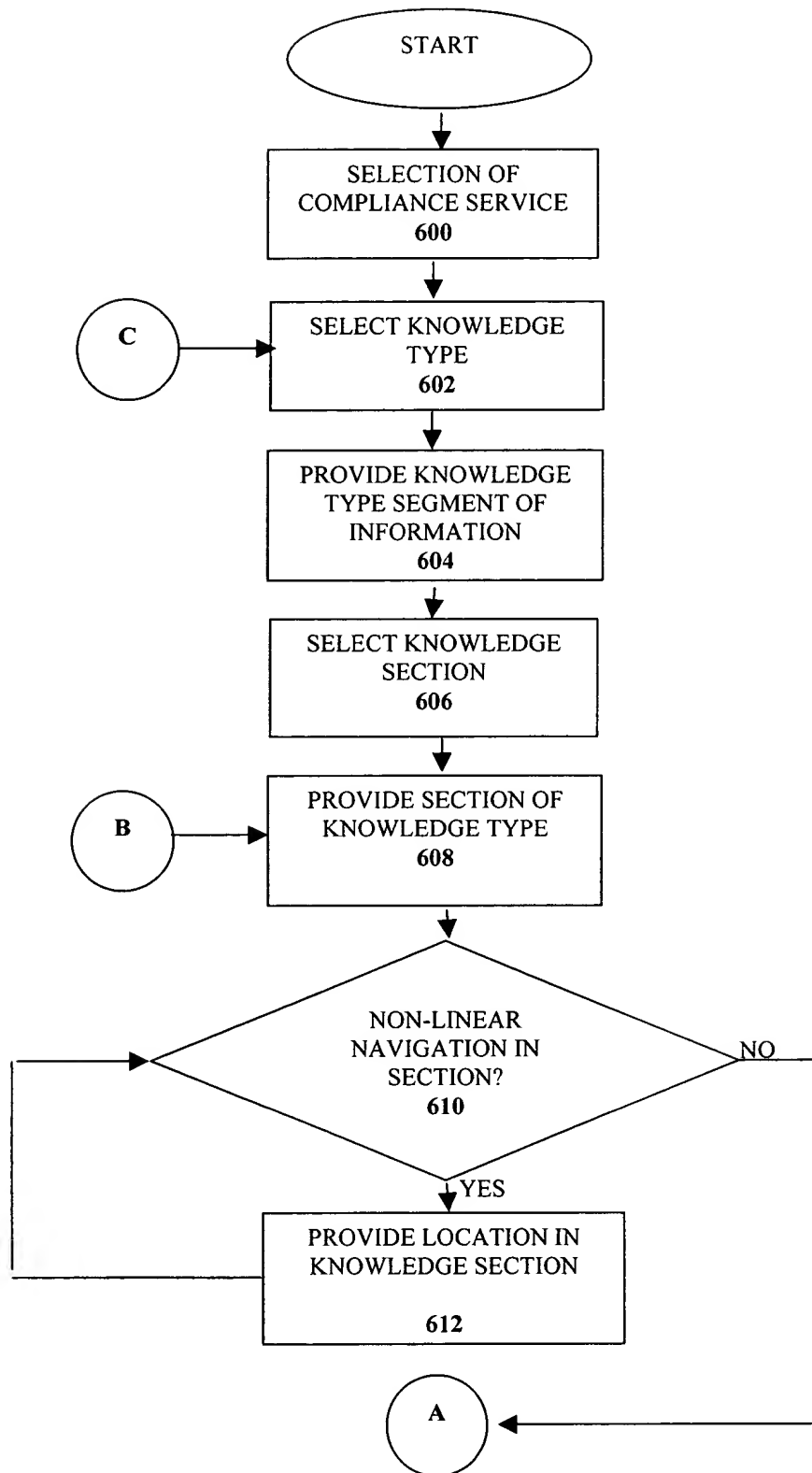
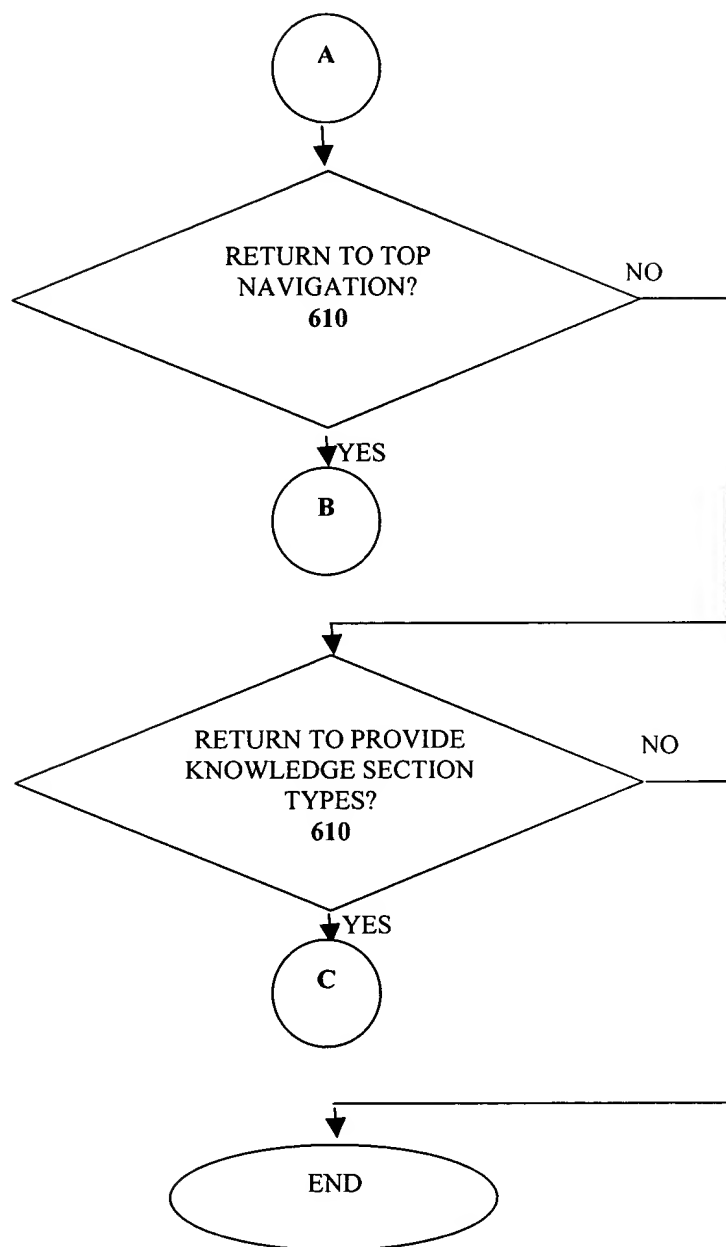


FIG. 5

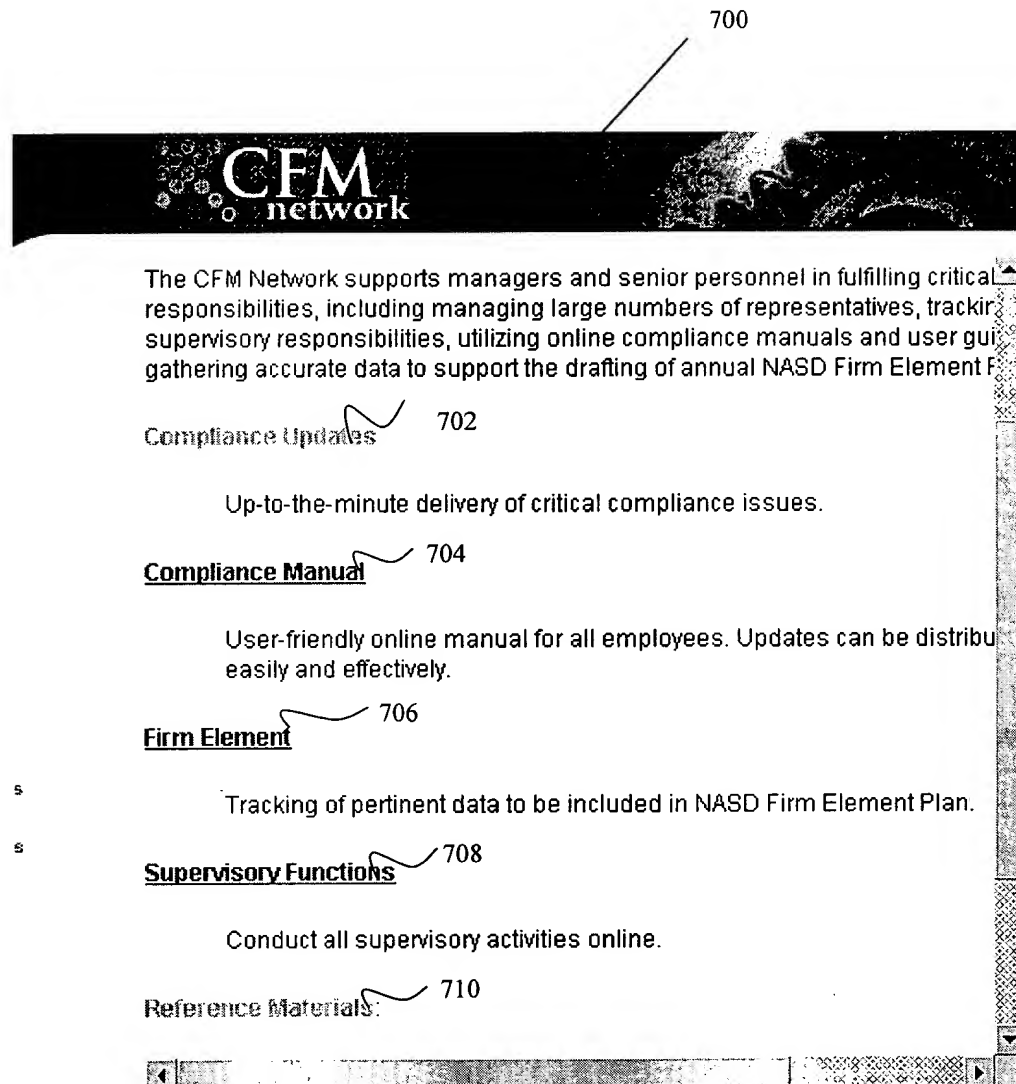


**FIG. 6A**



[illegible]

**FIG. 7**





● ●

[illegible]

802

ia

## Supervision Under the Securities Exchange Act of 1934

### Supervisory System

802

ens

### Unregistered Persons and Administrative Assistants

## Termination



802

### Violations of ABC Financial Policies and Procedures

### Branch Office Operations

FIG. 9A

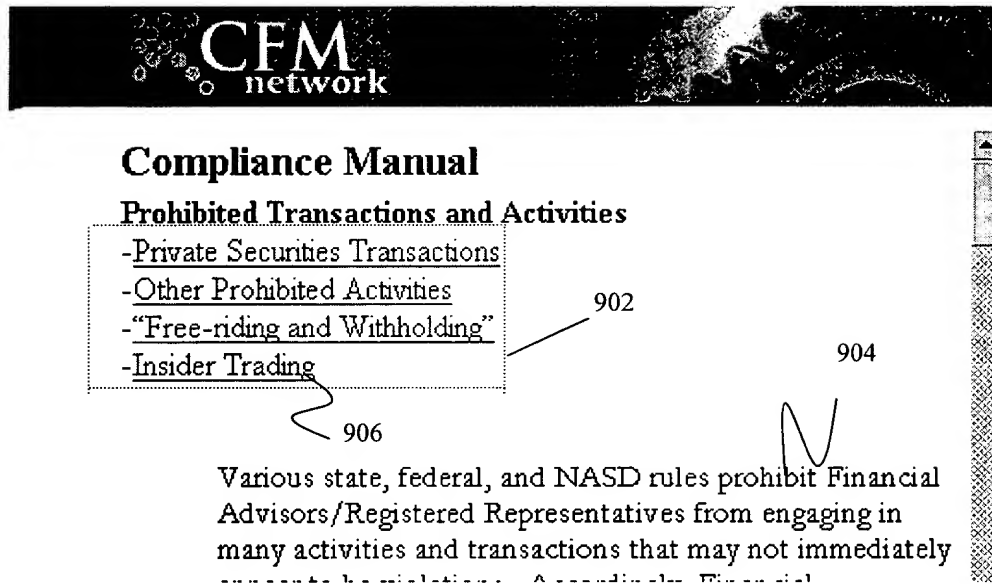
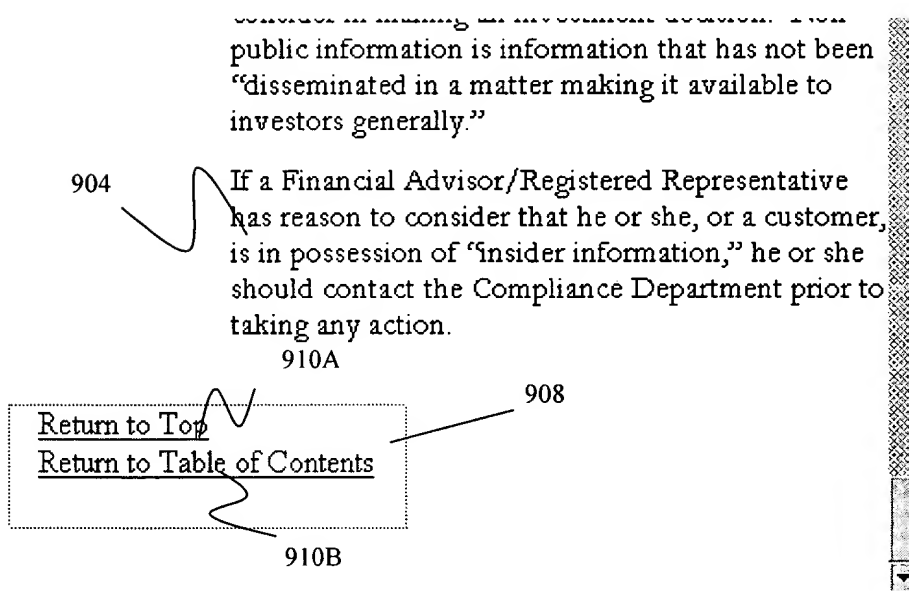
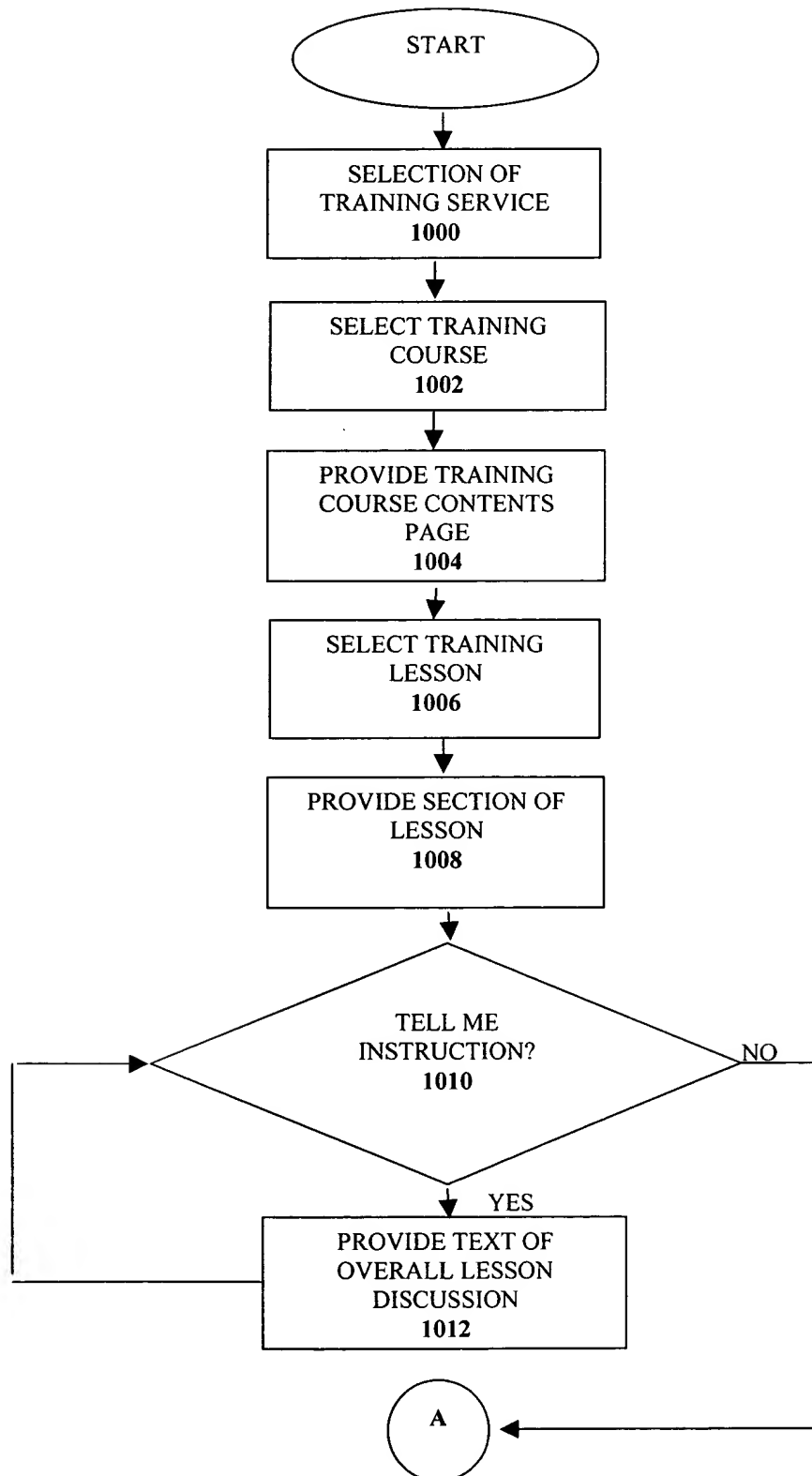


FIG. 9B



[illegible]

**FIG. 10B**

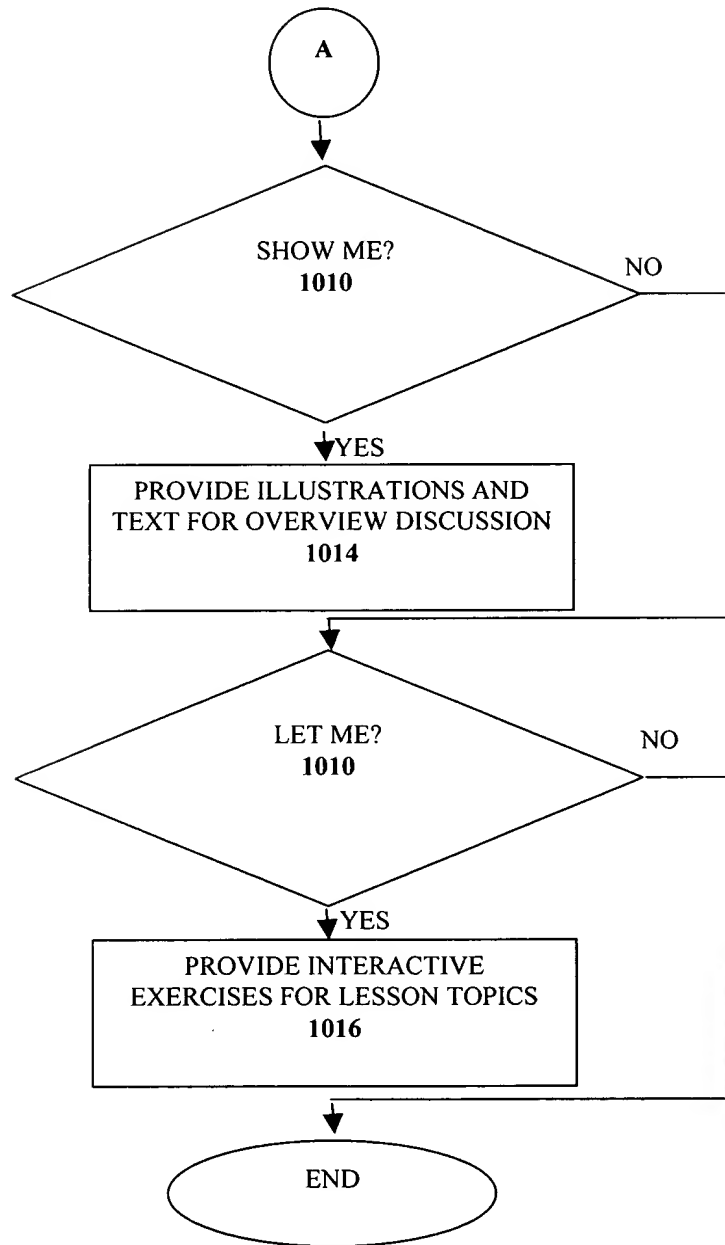


FIG. 10B: SET 2.0

FIG. 11

1100

The screenshot shows a web browser window with a toolbar at the top containing icons for home, search, and other functions. The address bar is empty. The main content area has a header with the word "Home" and a large banner image. Below the banner, the name "Elizabeth Murphy" is displayed. A welcome message follows: "Welcome to the CFM training network Elizabeth. Listed below is your current course work:". Below this message is a table with three columns: "Course Name", "Course Description", and "Percent Complete". The table contains one row of data for a course titled "Understanding Mutual Funds". The description states: "The primary purpose of this module is to provide you with a better understanding of the critical aspects of mutual funds. It specifically explains the different classifications of funds, the various risks involved with each class, and the pricing and fee structures available to the customer." The "Percent Complete" column shows "100%".

1102

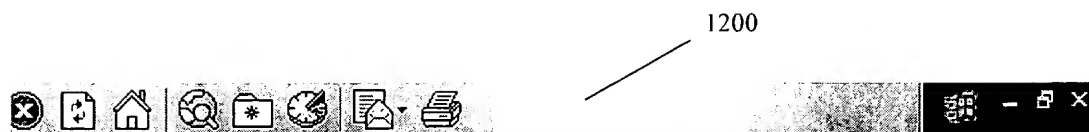
Home

Elizabeth Murphy

Welcome to the CFM training network Elizabeth. Listed below is your current course work:

Course Name	Course Description	Percent Complete
Understanding Mutual Funds 1104	The primary purpose of this module is to provide you with a better understanding of the critical aspects of mutual funds. It specifically explains the different classifications of funds, the various risks involved with each class, and the pricing and fee structures available to the customer. 1106	100% 1108

# FIG. 12



## Course Contents

1204

1206

Lesson Number	Lesson Name	Lesson Description	Percent Complete
1202 ✓ 2	<u>Introduction to Mutual Funds</u>	This lesson defines mutual funds, describes how mutual funds work, and discusses their general features and benefits.	100% ✓ 1208
3	<u>Money Market Funds</u>	Presents an overview of money market mutual funds ... key features, benefits, objectives, and \$1.00/share net asset value (NAV). Different types of money market mutual funds are also covered.	100%
4	<u>Fixed Income Funds</u>	Gives an overview of fixed income mutual funds ... key features, benefits, objectives, and fluctuating share price. This lesson also covers fixed income mutual fund types, interest rate risk and currency risk.	100%
5	<u>Equity Funds</u>	The objectives of this lesson are to teach the key concepts of equity mutual funds, be aware of the benefits of each equity fund type, and provide important disclosures.	100%
6	<u>Pricing, Fees and</u>	This lesson focuses on classifying the types of fees and expenses associated with investing in	100%

FIG. 13

## Lesson 3: Money Market Funds

1302

### Lesson Topics

- Money market mutual funds overview
  - Key features
  - Benefits
  - Objectives
  - \$1.00/Share net asset value (NAV)
- Money market fund types

### Learning Objectives

After studying this lesson, you'll have knowledge you can use to

- Define a money market mutual fund by its key features
- List money market fund benefits
- Identify different money market fund types
- Provide important disclosures to your customers

1308



Why would money market funds be a good investment?

1304



Tell Me

1306A



Show Me

1306B

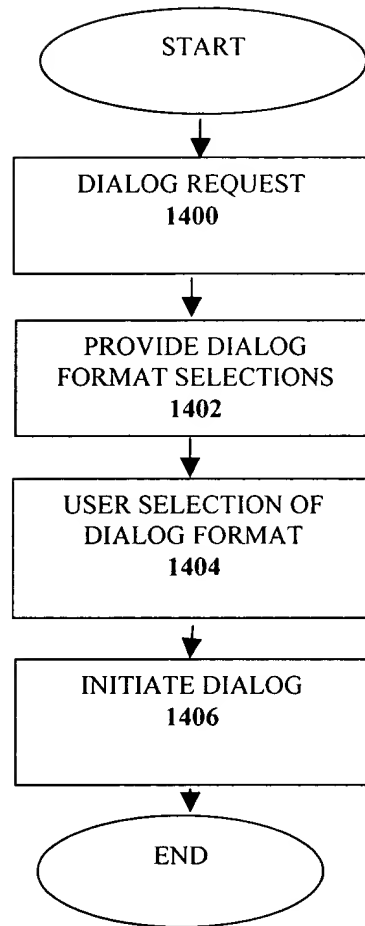


Let Me Try

1306C

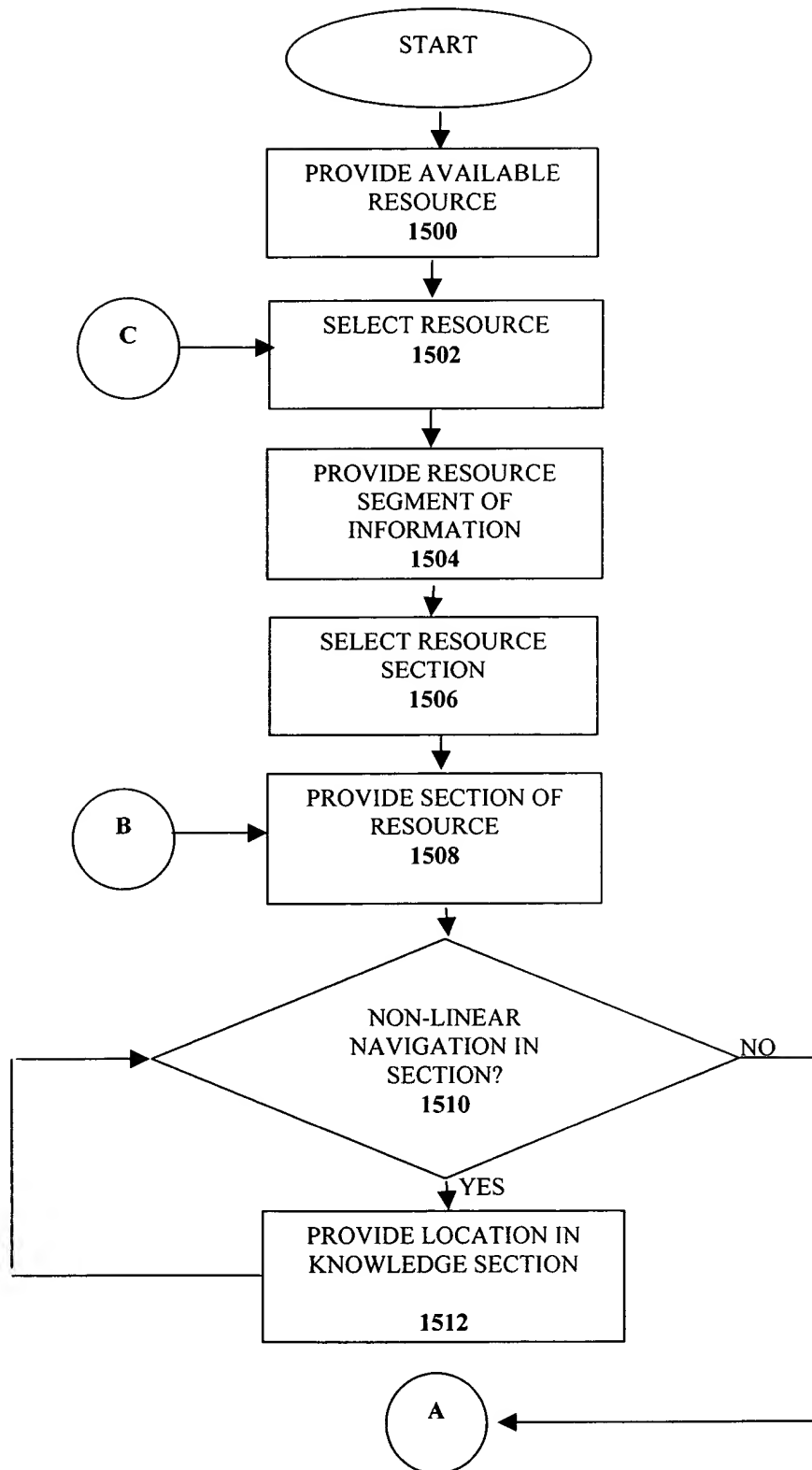
1306

**FIG. 14**





**FIG. 15A**



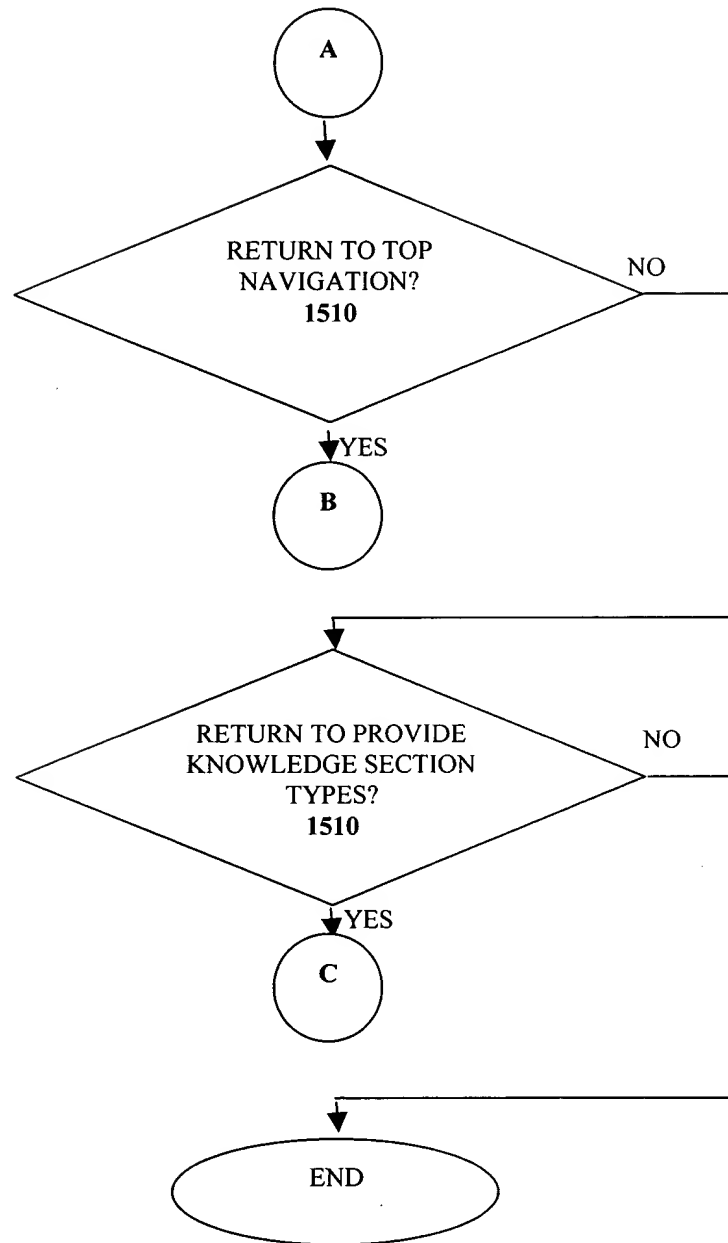
[illegible]

FIG. 16



## Reference

The CFM Network can provide numerous reference materials for its clients, including sales tool guides, compliance manuals, down market contingency plans, policies and procedures manuals, and product guides.

- Sales Tool Guide 1602
- Product Guide 1604
- Best Practices Guide 1606
- Down Market Contingency Plan 1608
- Compliance Guide 1610
- Account Guidelines 1612
- Sales Practice 1614
- Policies and Procedures 1616

[illegible]